

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Parent Owner: Bavykin, et al.

Application No./Patent No.: 09/751,654 Filed/Issue Date: December 29, 2000

Entitled: COLUMN DEVICE FOR ISOLATION AND LABELING OF NUCLEIC ACIDS

University of Chicago

(Name of Assignee)

University

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 011714, Frame 0280, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.  
(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

September 22, 2003

Date

(773) 702-3204

Telephone number

Renee Gander

Typed or printed name

Renee Gander

Signature

Asst. VP Strategic Res. Init.

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Washington, D.C. 20231

OCTOBER 25, 2001

MICHAEL J. CHERSKOV  
SUITE 1447  
20 NORTH WACKER DRIVE  
CHICAGO, IL 60606

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NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/16/2001

REEL/FRAME: 011714/0280  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

ZAKHARIEV, VLADIMIR M.

DOC DATE: 03/11/2001

ASSIGNOR:

MIRZABEKOV, ANDREI

DOC DATE: 03/11/2001

ASSIGNOR:

AKOWSKI, JAMES P.

DOC DATE: 04/04/2001

ASSIGNOR:

BAVYKIN, SERGEI G.

DOC DATE: 03/28/2001

ASSIGNEE:

CHICAGO, UNIVERSITY OF, THE  
5801 SOUTH ELLIS AVENUE  
CHICAGO, ILLINOIS 60637

SERIAL NUMBER: 09751654  
PATENT NUMBER:

FILING DATE: 12/29/2000  
ISSUE DATE:

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PE JC145  
APR 16 2001

10-18-2001



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RECORDATION FORM COVER SHEET  
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FORM PTO-1596

Rev. 6-97

OMB No. 0551-0011 (exp. 4/94)

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Vladimir M. Zakhariev  
Andrei Mirzabekov, James P. Akowski  
Sergei G. Bavykin

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

2. Name and address of receiving party(ies)

Name: The University of Chicago

Internal Address: \_\_\_\_\_

Street Address: 5801 South Ellis Avenue

City: Chicago State: IL ZIP: 60637

Additional name(s) & address(es) attached? ☐ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: \_\_\_\_\_

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No. (s)

09/751,654

B. Patent No. (s)

Additional numbers attached? ☐ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Michael J. Cherskov

Internal Address: Suite 1447

Street Address: 20 North Wacker Drive

City: Chicago State: IL ZIP: 60606

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

- ☐ Enclosed  
☐ Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Michael J. Cherskov

Name of Person Signing

Signature

April 13, 2001

Date

Total number of pages including cover sheet, attachments, and document: 3

Mail documents to be recorded with required cover sheet information to:  
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## ASSIGNMENT

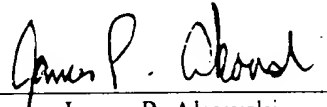
We, Sergei G. Bavykin of Darien, Illinois, and James P. Akowski of Alexandria, Virginia, for good and valuable considerations to us in hand paid, the receipt and sufficiency whereof is hereby acknowledged, have sold, assigned, conveyed and set over, and do hereby sell, assign, convey and set over unto THE UNIVERSITY OF CHICAGO, an Illinois corporation, organized under the laws of the State of Illinois, having a place of business at 5801 South Ellis Avenue, Chicago, Illinois 60637, its successors and assigns, the entire right, title and interest in and to all subject matter invented or designed by us and disclosed in the patent application for the COLUMN DEVICE FOR ISOLATION AND LABELING OF NUCLEIC ACIDS, ANL Case No. ANL-IN-99-120, filed in the U.S. Patent and Trademark Office on December 29, 2000, and assigned serial No. 09/751,654, and any divisions and continuations thereof and in and to all Letters Patent of the United States, including any reissues, non-provisional patent applications, and extensions thereof that may be obtained therefor, and the right, where such right can be legally exercised, in its own name to apply for and obtain Letters Patent, Inventor's Certificates, Utility Models and Designs, in countries foreign to the United States, including the full right to claim for any such application the benefits of the International Convention as fully and entirely as we could have done if the application had been in our names, and the entire interest in any Letters Patent, Inventor's Certificate, Utility Model or Design which may be granted on any such application in such foreign country; and we hereby authorize and request the Commissioner of Patents and Trademarks of the United States, and any official of any country or countries foreign to the United States whose duty it is to issue Letters Patent, Inventors Certificates, Utility Models or Designs, on applications as aforesaid, to issue any and all Letters Patent, Inventor's Certificates, Utility Models and Designs that may be granted for said invention to said UNIVERSITY OF CHICAGO, its successors and assigns.

And for the above-named considerations, we hereby agree that we will without additional compensation but without cost to ourselves, promptly communicate to said UNIVERSITY OF CHICAGO, its successors and assigns, any facts known to us respecting said invention whenever requested, and testify in any legal proceedings, sign all lawful papers, execute all divisional, continuing and reissue applications for Letters Patent, Inventor's Certificates, Utility Models and Designs and assignments thereof, make all rightful oaths and generally do everything possible to aid said assignee, its successors and assigns, as and when requested by them, in obtaining and enforcing proper Letters Patents, Inventor's Certificate, Utility Model and Design protection for said invention or inventions and improvements, in the United States and in all other countries.

  
Sergei G. ~~Bavykin~~ Bavykin

03/28/01

Date

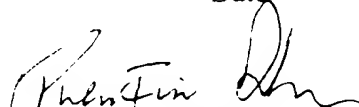
  
James P. Akowski

4/4/01  
Date

  
Witness

3/28/01

Date

  
Witness

4/4/01

Date

## ASSIGNMENT

We, Vladimir M. Zakhariev of Moscow, Russia, and Andrei Mirzabekov of Darien, Illinois, for good and valuable considerations to us in hand paid, the receipt and sufficiency whereof is hereby acknowledged, have sold, assigned, conveyed and set over, and do hereby sell, assign, convey and set over unto THE UNIVERSITY OF CHICAGO, an Illinois corporation, organized under the laws of the State of Illinois, having a place of business at 5801 South Ellis Avenue, Chicago, Illinois 60637, its successors and assigns, the entire right, title and interest in and to all subject matter invented or designed by us and disclosed in the patent application for the COLUMN DEVICE FOR ISOLATION AND LABELING OF NUCLEIC ACIDS, ANL Case No. ANL-IN-99-120, filed in the U.S. Patent and Trademark Office on December 29, 2000, and assigned serial No. 09/751,654, and any divisions and continuations thereof and in and to all Letters Patent of the United States, including any reissues, non-provisional patent applications, and extensions thereof that may be obtained therefor, and the right, where such right can be legally exercised, in its own name to apply for and obtain Letters Patent, Inventor's Certificates, Utility Models and Designs, in countries foreign to the United States, including the full right to claim for any such application the benefits of the International Convention as fully and entirely as we could have done if the application had been in our names, and the entire interest in any Letters Patent, Inventor's Certificate, Utility Model or Design which may be granted on any such application in such foreign country; and we hereby authorize and request the Commissioner of Patents and Trademarks of the United States, and any official of any country or countries foreign to the United States whose duty it is to issue Letters Patent, Inventor's Certificates, Utility Models or Designs, on applications as aforesaid, to issue any and all Letters Patent, Inventor's Certificates, Utility Models and Designs that may be granted for said invention to said UNIVERSITY OF CHICAGO, its successors and assigns.

And for the above-named considerations, we hereby agree that we will without additional compensation but without cost to ourselves, promptly communicate to said UNIVERSITY OF CHICAGO, its successors and assigns, any facts known to us respecting said invention whenever requested, and testify in any legal proceedings, sign all lawful papers, execute all divisional, continuing and reissue applications for Letters Patent, Inventor's Certificates, Utility Models and Designs and assignments thereof, make all rightful oaths and generally do everything possible to aid said assignee, its successors and assigns, as and when requested by them, in obtaining and enforcing proper Letters Patents, Inventor's Certificate, Utility Model and Design protection for said invention or inventions and improvements, in the United States and in all other countries.

V. Zakhariev

Vladimir M. Zakhariev

03.11.2001

Date

Andrei Mirzabekov

Andrei Mirzabekov

02/11/2001

Date

Witness

Witness

03.11.2001

Date

Witness

Witness

03.11.2001

Date

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Bavykin, et al.

Application No./Patent No.: 10/057,753 Filed/Issue Date: December 23, 2002

Entitled: METHOD FOR LABELING DNA AND RNA

University of Chicago, a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

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2. ☐ an assignee of less than the entire right, title and interest.

The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

In the patent application/patent identified above by virtue of either:

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

September 22, 2003


Date

(773) 702-3204

Telephone number

Renee Gander

Typed or printed name



Signature

Asst. VP Strategic Res Init.

Title

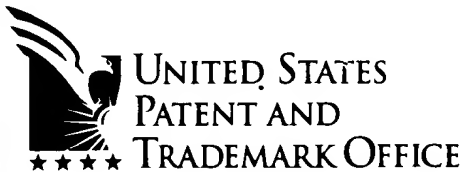
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ASSIGNMENT DIVISION  
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JUNE 27, 2002

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Chief Information Officer  
Washington, DC 20231  
[www.uspto.gov](http://www.uspto.gov)

CHERSKOV & FLAYNIK  
MICHAEL J. CHERSKOV  
20 NORTH WACKER DRIVE, SUITE 1447  
CHICAGO, ILLINOIS 60606



\*102073906A\*

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RECORDATION DATE: 04/22/2002

REEL/FRAME: 012833/0544  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BAVYKIN, SERGEI

DOC DATE: 03/25/2002

ASSIGNOR:

MIRZABEKOV, ANDREI

DOC DATE: 03/26/2002

ASSIGNEE:

CHICAGO, UNIVERSITY OF, THE  
5801 SOUTH ELLIS AVENUE  
CHICAGO, ILLINOIS 60637

SERIAL NUMBER: 10057753  
PATENT NUMBER:

FILING DATE: 01/23/2002  
ISSUE DATE:

ALLYSON PURNELL, EXAMINER  
ASSIGNMENT DIVISION  
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05-01-2002

05-01-2002

FINANCE SECTION

05-01-2002



102073906

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(Rev. 9-93)

OMB No. 0651-0011 (exp. 4/94)

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and Trademark Office

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1. Name of conveying party(ies):

Sergei Bavykin  
Andrei Mirzabekov

4-22-02

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: The University of Chicago

Internal Address: \_\_\_\_\_

Street Address: 5801 South Ellis Avenue

City: Chicago State: IL ZIP: 60637

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other \_\_\_\_\_

Execution Date: March 25/26, 2002

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

10/057,753

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Cherskov & Flaynik

Internal Address: Suite 1447

Street Address: 20 North Wacker Drive

City: Chicago State: IL ZIP: 60606

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number: \_\_\_\_\_

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Michael J. Cherskov  
Name of Person Signing

Michael J. Cherskov  
Signature

April 9, 2002  
Date

Total number of pages including cover sheet, attachments, and document: 2

Mail documents to be recorded with required cover sheet information to:  
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Washington, D.C. 20231

05/01/2002 TDIAZI 00000002 10057753

01 FC:581


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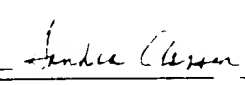
## ASSIGNMENT

We, Sergei Bavykin of Darien, Illinois, and Andrei Mirzabekov of Moscow, Russia, for good and valuable considerations to us in hand paid, the receipt and sufficiency whereof is hereby acknowledged, have sold, assigned, conveyed and set over, and do hereby sell, assign, convey and set over unto THE UNIVERSITY OF CHICAGO, an Illinois corporation, organized under the laws of the State of Illinois, having a place of business at 5801 South Ellis Avenue, Chicago, Illinois 60637, its successors and assigns, the entire right, title and interest in and to all subject matter invented or designed by us and disclosed in the patent application for the METHOD FOR LABELING DNA AND RNA, ANL Case No. ANL-IN-98-093, filed on January 23, 2002, Application Serial No. 10/057,753, which claimed the benefit of U.S. Provisional Application Serial No. 60/263,840, filed on January 23, 2001, and any divisions and continuations thereof and in and to all Letters Patent of the United States, including any reissues and extensions thereof that may be obtained therefor, and the right, where such right can be legally exercised, in its own name to apply for and obtain Letters Patent, Inventor's Certificates, Utility Models and Designs, in countries foreign to the United States, including the full right to claim for any such application the benefits of the International Convention as fully and entirely as we could have done if the application had been in our names, and the entire interest in any Letters Patent, Inventor's Certificate, Utility Model or Design which may be granted on any such application in such foreign country; and we hereby authorize and request the Commissioner of Patents and Trademarks of the United States, and any official of any country or countries foreign to the United States whose duty it is to issue Letters Patent, Inventors Certificates, Utility Models or Designs, on applications as aforesaid, to issue any and all Letters Patent, Inventor's Certificates, Utility Models and Designs that may be granted for said invention to said UNIVERSITY OF CHICAGO, its successors and assigns.

And for the above-named considerations, we hereby agree that we will without additional compensation but without cost to ourselves, promptly communicate to said UNIVERSITY OF CHICAGO, its successors and assigns, any facts known to us respecting said invention whenever requested, and testify in any legal proceedings, sign all lawful papers, execute all divisional, continuing and reissue applications for Letters Patent, Inventor's Certificates, Utility Models and Designs and assignments thereof, make all rightful oaths and generally do everything possible to aid said assignee, its successors and assigns, as and when requested by them, in obtaining and enforcing proper Letters Patents, Inventor's Certificate, Utility Model and Design protection for said invention or inventions and improvements, in the United States and in all other countries.

  
\_\_\_\_\_  
Andrei D. Mirzabekov

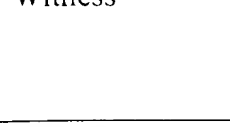
  
\_\_\_\_\_  
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Sergei Bavykin

  
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Date

  
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Witness

  
\_\_\_\_\_  
Date